



ATTORNEY DOCKET NO.: 124256.401

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of:

Steven Kirk DONOHO, et al.

Serial No. 10/686,462 : Group Art Unit: not yet assigned

Filed: October 15, 2003 : Examiner: not yet assigned

For: METHOD AND SYSTEM FOR THE PROTECTION OF BROKER  
AND INVESTOR RELATIONSHIPS, ACCOUNTS AND  
TRANSACTIONS

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the document listed on the attached form PTO-1449. The document is submitted as a supplement to the Information Disclosure Statement filed on October 15, 2003. It is respectfully requested that the document be expressly considered during the prosecution of this application, and that the document be made of record therein.

## AUTHORIZATION

According to 37 C.F.R. 1.97(b)(3), no fee is believed to be required for submission of this Second Supplemental Information Disclosure Statement. The Commissioner is hereby authorized to charge any additional fees which may be required for this submission, or credit any overpayment to deposit account no. 50-0436.

Respectfully submitted,

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Date: January 7, 2004



Substitute for form 1449/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

R&B  
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of 1

<b>Complete if Known</b>	
<b>Application Number</b>	10/686,462
<b>Filing Date</b>	October 15, 2003
<b>First Named Inventor</b>	Steven Kirk DONOHO
Group Art Unit	not yet assigned
Examiner Name	not yet assigned
Attorney Docket Number	124256.401

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner 's Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or county where published.	T
/E.C./		Affidavit of Steven Kirk Donoho, November 14, 2003.	
Examiner Signature	/Edward Chang/	Date Considered	04/15/2008

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.10**

APPLICANT: Steven Kirk Donoho, et al.

TITLE: METHOD AND SYSTEM FOR THE PROTECTION OF BROKER AND INVESTOR RELATIONSHIPS, ACCOUNTS AND TRANSACTIONS

SERIAL NO.: 10/686,462

ATTORNEY REF: 124256.401

DATE OF DEPOSIT: January 7, 2004

I HEREBY CERTIFY THAT THE SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE VIA UNITED STATES POST OFFICE FIRST CLASS MAIL UNDER 37 C.F.R. § 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450.

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(Typed or printed name of person mailing paper or fee)

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